

28684
5-102

Please place a plus sign inside this box → ☐

PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number	010/031,659		
	Filing Date	November 13, 2001	
	First Named Inventor	Nongjian Tao	
	Group Art Unit	2878	
	Examiner Name	To be assigned	
Total Number of Pages in This Submission	45	Attorney Docket Number	29171/36823A

ENCLOSURES (check all that apply)

<input type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment/Reply	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input type="checkbox"/> Other Enclosure(s) (please identify below)
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	
<input checked="" type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Request for Refund	
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> CD, Number of CD(s) _____	
<input type="checkbox"/> Response to Missing Parts/ Incomplete Application		
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		
Remarks		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual Name	MARSHALL GERSTEIN & BORUN Mark H. Hopkins, Ph.D. Reg. No. 44, 775
Signature	
Date	April 25, 2002

I hereby certify that this correspondence is being deposited with the U.S. Postal Service as First Class Mail, in an envelope addressed to: Commissioner for Patents, Washington, DC 20231, on the date shown below.

Dated: April 25, 2002

Signature:

Mark H. Hopkins

(Name of Signer)



PATENT
29171/36823A

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Tao et al.

Serial No.: 010/031,659

Filed: November 13, 2001

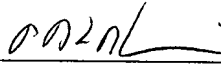
For: Surface Plasmon Resonance
Detection with High Angular
Resolution and Fast Response
Time

Group Art Unit: 2878

Examiner: To be assigned

CERTIFICATE OF MAILING
(37 CFR 1.8)

I hereby certify that this paper and the documents referred to as enclosed therein are being deposited with the United States Postal Service as first class mail, postage prepaid, on April 25, 2002, in an envelope addressed to the Commissioner of Patents and Trademarks, Washington, D.C. 20231.


Mark H. Hopkins, Ph.D.

INFORMATION DISCLOSURE STATEMENT
UNDER 37 C.F.R. §1.97 INCLUDING REPORT FORM PTO-1449

Commissioner for Patents
Washington, DC 20231

Sir:

Applicant requests that the documents listed on the attached Form PTO-1449 be made of official record in the above-identified application, be considered by the Examiner and be recorded on the face of any patent that issues from the above-identified application. Copies of documents A1-A2 and C1-C3 are submitted herewith.

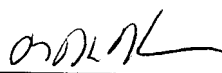
This Information Disclosure Statement is not intended to be an admission that a search has been made, that other relevant art does not exist, or that any of the information enclosed herein constitutes prior art under 35 U.S.C. §§102 or 103.

This Information Disclosure Statement is submitted before receipt of a first Office action on the merits, and consequently should be considered by the Patent Office without payment of a fee. See 37 C.F.R. §1.97(b). In the event any fees are due and owing in connection with this Information Disclosure Statement, the Commissioner is authorized to charge Deposit Account No. 13-2855. A copy of this paper is enclosed herewith.

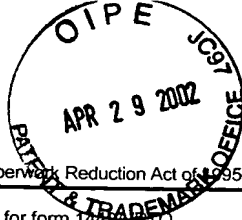
Respectfully submitted,

MARSHALL, GERSTEIN & BORUN

By:


Mark H. Hopkins, Ph.D.
Registration No. 44,775
Agent for Applicants
6300 Sears Tower
233 South Wacker Drive
Chicago, Illinois 60606-6402
(312) 474-6300

April 25 , 2002



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A-PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)			Complete if Known		
			Application Number	010/031,659	
			Filing Date	Nov. 13, 2001	
			First Named Inventor	Nongjian Tao	
			Art Unit	2878	
			Examiner Name	Unassigned	
Sheet	1	of	1	Attorney Docket Number	29171/36823A

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. ¹	Document Number Number-Kind Code ² (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
	A1	4,997,278	03/05/1991	Finlan et al.	
	A2	5,986,762	11/16/1999	Challener	

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³ -Number ⁴ -Kind Code ⁵ (if known)				

Examiner Signature		Date Considered	
--------------------	--	-----------------	--

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² See attached Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the application number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS			
Examiner Initials	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
	C1	CARUSO <i>et al.</i> "Acousto-optic surface-plasmon resonance measurements of thin films on gold", <i>J. Appl. Phys.</i> 83: 1023 (1998).	
	C2	KRETSCHMANN, E. "The ATR method with focused light-application to guided waves on a grating". <i>Optics Communications</i> , 26:41 (1978).	
	C3	LIEDBERG <i>et al.</i> , "Surface plasmon resonance for gas detection and biosensing", <i>Sensors and Actuators</i> , 4: 299 (1983).	

Examiner Signature		Date Considered	
--------------------	--	-----------------	--

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached.